

SEP 02 2004

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Approved for use through 07/31/2006. OMB 0651-0032  
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE**FEE TRANSMITTAL  
for FY 2004**

Effective 10/01/2004. Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27**TOTAL AMOUNT OF PAYMENT** (\$) 180**Complete if Known**

Application Number	09/689,222
Filing Date	October 11, 2000
First Named Inventor	Siddhartha NAG et al.
Examiner Name	Mitra KIANERSI
Art Unit	2143
Attorney Docket No.	59033-278849

**METHOD OF PAYMENT (check all that apply)**☐ Check ☒ Credit card ☐ Money ☐ Other ☐ None  
Order☐ Deposit Account:Deposit  
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Faegre &amp; Benson LLP

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06-0029

The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments  
☒ Charge any additional fee(s) during the pendency of this application  
☐ Charge fee(s) indicated below, except for the filing fee  
to the above-identified deposit account.
**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	770	2001	385	Utility filing fee	
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
<b>SUBTOTAL (1)</b>					(\$ 0)

**2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

	Extra Claims	Fee from below	Fee Paid
Total Claims	0	0	0
Independent Claims	0	0	0
Multiple Dependent			0

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple dependent claim, if not paid
1204	86	2204	43	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent
<b>SUBTOTAL (2)</b> (\$ 0)				

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet.	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17 (q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	180
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	2809	385	Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR § 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)** (\$ 180)**SUBMITTED BY****Complete (if applicable)**

Name (Print/Type)

Michael A. DeSanctis

Registration No.  
(Attorney/Agent)

39,957

Telephone

(303) 607-3633

Signature

Date

August 31, 2004

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PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Atty. Docket No.: 59033-278849

In re Application of:

Siddhartha NAG et al.

Serial No.: 09/689,222

Filed: October 11, 2000

For: **GRAPHICAL USER INTERFACE  
(GUI) FOR ADMINISTERING A  
VOICE OVER INTERNET  
PROTOCOL (VOIP) NETWORK  
IMPLEMENTING MEDIA  
AGGREGATION MANAGERS**

) Examiner: Mitra KIANERSI

) Art Unit: 2143

) Confirmation No.: 7951

**CERTIFICATE OF TRANSMISSION**

I HEREBY CERTIFY THAT this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage via first-class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on: August 31, 2004.

FAEGRE & BENSON LLP

Michelle L. Wyss

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Dear Sir:

The documents listed on the enclosed Form PTO/SB/08a-b (05-03) are presented under 37 C.F.R. § 1.97(c) pursuant to Applicant's duty of disclosure. Copies of each of these documents are enclosed. Therefore, applicant has included a fee under § 1.17(p) of \$180.00.

In submitting these references, no representation is made or implied that the references are or are not material to the examination of the application. The Examiner is encouraged to make his or her own determination of materiality.

09/02/2004 MBLANCO 00000036 09689222

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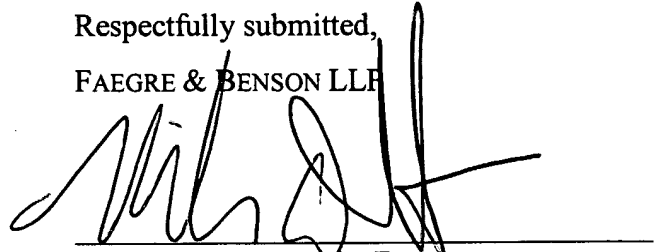
If the Examiner has any questions concerning the relevance of any reference cited in this disclosure, the Examiner is respectfully requested to call the undersigned at (303) 607-3633 if there remains any issue with allowance of the case.

Enclosed is our credit card payment form in the amount of \$180.00 for the submission of the Supplemental Information Disclosure Statement. The Commissioner is authorized to charge any additional fees or credit any overpayment to Deposit Account No. **06-0029** and notify us of the same.

Date: **August 31, 2004**

Respectfully submitted,

FAEGRE & BENSON LLP

A handwritten signature in black ink, appearing to read 'Michael A. DeSanctis', is written over a horizontal line.

Michael A. DeSanctis, Esq.

3200 Wells Fargo Center

1700 Lincoln Street

Denver, Colorado 80203

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Telephone: (303) 607-3500

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PTO/SB/08a (05-03)

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**INFORMATION DISCLOSURE  
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Sheet

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of

4

**Complete if Known**

Application Number	09/689,222
Filing Date	October 11, 2000
First Named Inventor	Siddhartha Nag et al.
Art Unit	2143
Examiner Name	Mitra Kianersi
Attorney Docket Number	59033-278849

**U.S. PATENT DOCUMENTS**

Examiner Initials *	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code <sup>2</sup> (if known)			
	1	US-5,831,975	11-03-1998	Chen et al.	
	2	US-6,026,443	02-15-2000	Oskouy et al.	
	3	US-6,104,721	8/15/2000	Hsu et al.	
	4	US-6,208,638	03-27-2001	Rieley et al.	
	5	US-6,212,562	04-03-2001	Huang et al.	
	6	US-6,226,678	05-01-2001	Mattaway et al.	
	7	US-6,243,376	06-05-2001	Ng et al.	
	8	US-6,243,759	06-05-2001	Boden et al.	
	9	US-6,259,771	07-10-2001	Kredo et al.	
	10	US-6,298,120	10-02-2001	Civanlar et al.	
	11	US-6,366,577	04-02-2002	Donovan et al.	
	12	US-6,418,139	07-09-2002	Akhtar et al.	
	13	US-6,493,348	12-10-2002	Gelman et al.	
	14	US-6,515,966	02-04-2003	Bardalai et al.	
	15	US-6,606,668	08-12-2003	McLampy et al.	
	16	US-6,640,248	10-28-2003	Jorgensen et al.	
	17	US-6,647,208	11-11-2003	Kirby et al.	
	18	US-6,714,987	03-30-2004	Amin et al.	
	19	US-2004/0073641	04-15-2004	Minhazuddin et al.	

**FOREIGN PATENT DOCUMENTS**

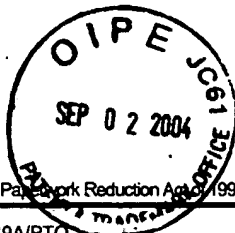
Examiner Initials *	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (if known)				
	20	WO 02/13023	02-14-2002	Nag et al.		

Examiner  
SignatureDate  
Considered

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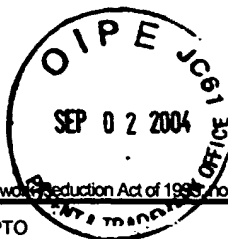
Sheet 2 of 4

### Complete if Known

Application Number	09/689,222
Filing Date	October 11, 2000
First Named Inventor	Siddhartha Nag et al.
Group Art Unit	2143
Examiner Name	Mitra Kianersi
Attorney Docket Number	59033-278849

### OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS

Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	21	BAKER, L., et al., Aggregation of RSVP for IPv4 and IPv6 Reservations, September 2001, printed from Internet at: <a href="http://www.ietf.org/rfc/rfc3175.txt?number=3175">http://www.ietf.org/rfc/rfc3175.txt?number=3175</a> (34 pages).	
	22	BRADEN, R., et al., RFC2205 - Resource ReSerVation Protocol (RSVP) – Version 1 Functional Specification, September 1997, printed from Internet at: <a href="http://www.faqs.org/rfcs/rfc2205.html">http://www.faqs.org/rfcs/rfc2205.html</a> (79 pages).	
	23	ZHU, C., et al., RFC 2190 – RTP Payload Format for H.263 Video Streams, September 1997, printed from Internet at: <a href="http://www.faqs.org/rfcs/rfc2190.html">http://www.faqs.org/rfcs/rfc2190.html</a> (10 pages).	
	24	HANDLEY, M., et al., SIP: Session Initiation Protocol, March 1999, printed from Internet at: <a href="ftp://ftp.isi.edu/in-notes/rfc2543.txt">ftp://ftp.isi.edu/in-notes/rfc2543.txt</a> (143 pages).	
	25	SIP: Session Initiation Protocol, updated August 2004, printed from Internet at: <a href="http://www.cs.columbia.edu/sip">http://www.cs.columbia.edu/sip</a> (1 page).	
	26	SIP: Session Initiation Protocol – Implementations, News, updated August 2004, printed from Internet at: <a href="http://www.cs.columbia.edu/sip/news.html">http://www.cs.columbia.edu/sip/news.html</a> (4 pages).	
	27	Measures network performance and predicts the impact of changes, Chariot, 2004, NetIQ Corporation (2 pages).	
	28	netIQ: Chariot, 1993-2004, NetIQ Corporation, printed from Internet at: <a href="http://www.netiq.com/products/chr/default.asp?print=true">http://www.netiq.com/products/chr/default.asp?print=true</a> (1 page).	
	29	Delivers comprehensive service management for windows, UNIX and Linux systems and applications, NetIQ AppManager Suite, 2004, NetIQ Corporation (4 pages).	
	30	Delivers Enterprise VoIP QoS and Management, AppManager for VoIP, 2004, NetIQ Corporation (4 pages).	
	31	NetIQ's VoIP Management Solution, 2004, NetIQ Corporation (2 pages).	
	32	NetIQ: Appmanager for VoIP, 1993-2004, NetIQ Corporation, printed from the Internet at: <a href="http://www.netiq.com/products/am/modules/voip.asp?print=true">http://www.netiq.com/products/am/modules/voip.asp?print=true</a> (1 page).	
	33	PEARSALL, S., et al., Doing a VoIP Assessment with Vivinet Assessor, netIQ Work Smarter, 2001-2002, NetIQ Corporation (19 pages).	
	34	Delivers the leading software solution for assessing a data network's readiness for VoIP, Vivinet Assessor, 2004, NetIQ Corporation (2 pages).	
	35	NetIQ: Vivinet Assessor, 1993-2004, NetIQ Corporation, printed from the Internet at: <a href="http://www.netiq.com/products/va/default.asp?print=true">http://www.netiq.com/products/va/default.asp?print=true</a> (1 page).	
	36	Pinpoints VoIP quality problems in minutes, Vivinet Diagnostics, 2004, NetIQ Corporation (2 pages).	
	37	NetIQ: Vivinet Diagnostics, 1993-2004, NetIQ Corporation, printed from the Internet at: <a href="http://www.netiq.com/products/vd/default.asp?print=true">http://www.netiq.com/products/vd/default.asp?print=true</a> (1 page).	
	38	NetIQ: VoIP Management Solution, 1993-2004, NetIQ Corporation, printed from the Internet at: <a href="http://www.netiq.com/solutions/voip/default.asp?print=true">http://www.netiq.com/solutions/voip/default.asp?print=true</a> (1 page).	
	39	Micromuse: Products & Solutions – Netcool Suite Overview, 2004, Micromuse, Inc., printed from the Internet at: <a href="http://www.micromuse.com/products_sols/index.html">http://www.micromuse.com/products_sols/index.html</a> (9 pages).	
	40	Netcool Solutions for Voice Over IP, Realtime Service Quality Management for IP Telephony Services, Micromuse, Inc. (4 pages).	



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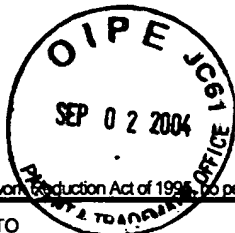
Sheet 3 of 4

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Examiner Name	Mitra Kianersi
Attorney Docket Number	59033-278849

### OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS

Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	41	Netcool Solutions for Enterprise, End-To-End Business and Service Assurance, Micromuse, Inc. (6 pages).	
	42	Netcool/System Service Monitors White Paper, Including Netcool/Applications Service Monitors, 2003, Micromuse, Inc. (8 pages).	
	43	Netcool/Monitors Product Family – Realtime and Trended Performance, Status and Service Monitoring, 2004, Micromuse, Inc. (4 pages).	
	44	Netcool/Usage Service Monitors White Paper (Netcool/USMs), 2003, Micromuse, Inc. (11 pages).	
	45	Netcool/Precision for IP Networks: Discovery & Topology-/Based /RCA, Micromuse, Inc., (2 pages).	
	46	Realtime Event Management for Business and Service Assurance, Micromuse, Inc. (4 pages).	
	47	FARRELL, C., Grappling With Management Of IP Telephony, Internet Telephony, May 2004, Technology Marketing Corporation (2 pages).	
	48	NetIQ VoIP Manager Connector For Netcool/OMNibus, Micromuse, Inc. (1 page).	
	49	ALLEN, P., Putting new service management tactics to work, Service providers can make smarter use of service management technology, ServerWorld, Volume 16, No.4, April 2002 (3 pages).	
	50	HP OpenView Network Services – Management – Business blueprint, 2004, Hewlett-Packard Development Company, L.P. (6 pages).	
	51	Management Software – IP telephony management solutions overview & features, 2004, Hewlett-Packard Development Company, L.P., printed from the Internet at: <a href="http://www.openview.hp.com/cgi-bin/pf-new.cgi?IN=hp/products/nnm/prod_nnm_0002.h...">http://www.openview.hp.com/cgi-bin/pf-new.cgi?IN=hp/products/nnm/prod_nnm_0002.h...</a> (1 page).	
	52	Management Software – Alliance with Cisco Systems, Inc., 2004, Hewlett-Packard Development Company, L.P., printed from the Internet at: <a href="http://www.openview.hp.com/cgi-bin/pf-new.cgi?IN=hp/partners/alliances/pall_0001.html">http://www.openview.hp.com/cgi-bin/pf-new.cgi?IN=hp/partners/alliances/pall_0001.html</a> (2 pages).	
	53	Cisco HP Smart Way 2004 Solution Brief, 2003, Cisco Systems and Hewlett-Packard (4 pages).	
	54	HP Open View, Network Node Manager Smart Plug-in for Advanced routing 1.0 Data sheet, 2003-2004, Hewlett-Packard Development Company, L.P. (4 pages).	
	55	HP OpenView Performance Insight Report Pack for IP Telephony 1.2, 2004, Hewlett-Packard Development Company, L.P. (8 pages).	
	56	hp OpenView, glanceplus and glanceplus pak product brief, 2003, Hewlett-Packard Company (6 pages).	
	57	HP OpenView, Performance Manager, Performance Monitor and Performance Agent data sheet, 2003, Hewlett-Packard Development Company, L.P. (4 pages).	
	58	HP Open View, Service Quality Manager 1.1 data sheet, 2003, Hewlett-Packard Development Company, L.P. (4 pages).	
	59	hp OpenView, service information portal 3.1 product brief, 2003, Hewlett-Packard Company (4 pages).	



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	60	hp OpenView, problem diagnosis 1.1 product brief, 2002, Hewlett-Packard Company (4 pages).	
	61	HP OpenView Performance Insight Pack for Infrastructure Usage, 2004, Hewlett-Packard Development Company, L.P. (6 pages).	
	62	HP OpenView, Network Node Manager Smart Plug-in for Advance Routing 1.0 Data sheet, 2003-2004, Hewlett-Packard Development Company, L.P. (4 pages).	
	63	HP OpenView, Customer Views 1.4 for Network Node Manager data sheet, 2003, Hewlett-Packard Development Company, L.P. (4 pages).	
	64	Hewlett-Packard OpenView – about Hewlett-Packard OpenView, 2004, Hewlett-Packard Development Company, L.P., printed from the Internet at: <a href="http://www.managementsoftware.hp.com/cgi-bin/pf-new.cgi?IN=hp/about/index.html">http://www.managementsoftware.hp.com/cgi-bin/pf-new.cgi?IN=hp/about/index.html</a> (2 pages).	
	65	hp OpenView, service quality manager product overview, 2003, Hewlett-Packard Company (16 pages).	
	66	Intelligent Diagnostics for Networks, Beyond root-cause analysis, A white paper from HP – preliminary*, 2003, Hewlett-Packard Development Company, L.P. (12 pages).	
	67	HP OpenView, Operations 7.x for Windows, Firewall Configuration white paper, 2002, Hewlett-Packard Company (60 pages).	
	68	Gain strategic advantage with HP IT Service Management, White paper, 2003, Hewlett-Packard Development Company, L.P. (8 pages).	
	69	HARBAUM, T., et al., Layer 4+Switching with QOS Support for RTP and HTTP, 1999, Global Telecommunications Conference - GLOBECOM '99, pages 1591-1596.	
Examiner Signature		Date Considered	

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1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 120 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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